

KYC Case # : **01977694**

Status : **6. Approved**

**One sheet must be established per relationship - list all accounts included in the relationship**

1. Relationship Details			
Relationship Name:	SOUTHERN FINANCIAL RELATIONSHIP:00000483290	Booking Center:	New York
Relationship Manager:	Stewart Oldfield		
Relationship to PWM:	<input type="checkbox"/> New PWM Relationship		<input checked="" type="checkbox"/> Existing PWM Relationship
	If existing, please indicate since when the relationship exists, provide reason for new profile and attach old profile: *** 2018 Periodic Review - HR Overdue KYC ***  Last Approved KYC # Plan D LLC - 1790820; NES LLC - 1790739; The 2007 Jeffrey E Epstein Insurance Trust & The Haze Trust - 1804531.  IDs for Darren Indyke & Richard Kahn can be found in "Repository" of GCIS # 486405.		
How Was the Client(s) Introduced? How long has the RM personally known the client?	<input checked="" type="checkbox"/> Client Referral	<input type="checkbox"/> RM Prospect	<input type="checkbox"/> Intermediary/FIM
	<input type="checkbox"/> Other Source (CIB, etc.)  Please provide details (e.g. name of referral source, how many years RM personally has known client, etc.): Jeffrey Epstein reached out to Stew Oldfield on 3/7/17 to have a new acct opened under this relationship..		
Does Deutsche Bank pay a retrocession or similar compensation to a third party for the introduction of this relationship?	<input type="checkbox"/> Yes		<input checked="" type="checkbox"/> No
	(If Yes, describe):		
List all existing and new accounts involved in this relationship			
	Legal Entity Account(s)	Account Name / Number	Opening Date (intended/actual)
1	<input checked="" type="checkbox"/>	Nes LLC - 42953758 - DDA-42953758	11/8/2013
2	<input checked="" type="checkbox"/>	Plan D LLC - 42953467 - DDA-42953467	10/18/2013
3	<input checked="" type="checkbox"/>	The Haze Trust - 77000949 - DDA-77000949	2/21/2017
4	<input checked="" type="checkbox"/>	The Haze Trust - N4G024943 - DBSI-N4G024943	9/23/2013
5	<input checked="" type="checkbox"/>	The Haze trust - 42967287 - DDA-42967287	2/27/2017
Who is the primary contact person for the RM? (Note: This person needs to have signatory rights and/or information right for the accounts.):	Darren K. Indyke		Preferred method of contact(indicate phone no., fax no., e-mail address, etc.):  212 971 1314

SDNY\_GM\_00064323

<https://dbforcepb.my.salesforce.com/ser/let/serv/et/Integration?id=01N30000000D9Di&...> 11/19/2018

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0027148

EFTA\_00174826

EFTA01298930

**One sheet must be established for each account to be opened**

2. Account Ownership Summary												
Account Name:		Nes LLC - 42953758 - DDA					Acct. Number (if available):		42953758			
Account Manager:		Stewart Oldfield										
What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? This is a simple checking account to take care of the expenses associated with running Jeffrey Epstein's NY home												
Indicate from where the assets are expected to arrive?												
<input checked="" type="checkbox"/> DB Group: Same Booking Center (indicate account number): Existing <input type="checkbox"/> DB Group: Other Booking Center (indicate DB location and account details): <input type="checkbox"/> Other Institution – (Indicate name & location): <input type="checkbox"/> Physical Deposits (specify cash, securities, cheques, ...):												
What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)? ~ 10-20/month; \$30 - \$20K												
What is the expected volume of assets and currency for the account approx. 90 days after opening?		252,347.66			Currency		USD					
What is the expected volume of assets and currency for the account approx. one year after opening?		252,347.66			Currency		USD					
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?							<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
<b>Please list all parties related to the account.</b> For each party: <ul style="list-style-type: none"> <li>• Check if a source of wealth description is required for the party.</li> <li>• Check the appropriate box to describe the relationship of the party to this account (&gt; 1 can be selected).</li> <li>• If none of the check boxes apply, describe the party's relation to the account in the "Other" column.</li> <li>• Always describe the relationship between the parties in the last column.</li> <li>• Please drill down to the ultimate/underlying Beneficial Owner(s).</li> </ul>												
	Legal Entity	Description of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25% Non-PIC entity (indicate ownership %))	Other (please describe other roles and/or indicate relationship between parties)
1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	NES, LLC	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2	<input type="checkbox"/>	<input type="checkbox"/>	Darren K. Indyke	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Auth Signor;
3	<input type="checkbox"/>	<input type="checkbox"/>	Harry Beller	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Auth Signor;
4	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey E. Epstein	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	100	Beneficiary;Sole Member;Primary Decision Maker;Sole Owner;

SDNY\_GM\_00064324

https://dbforcepb.my.salesforce.com/serveletuser/et/Integration?id=01N30000000D9Di&...

11/19/2018

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

**CONFIDENTIAL**

DB-SDNY-0027149

EFTA\_00174827

EFTA01298931

2. Account Ownership Summary												
Account Name:	Plan D LLC - 42953467 - DDA	Acct. Number (if available):	42953467									
Account Manager:	Stewart Oldfield											
What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? This is a simple checking account for pay for costs associated for Jeffrey Epstein's airplanes												
Indicate from where the assets are expected to arrive?												
<input checked="" type="checkbox"/> DB Group: Same Booking Center (indicate account number): Existing <input type="checkbox"/> DB Group: Other Booking Center (indicate DB location and account details): <input type="checkbox"/> Other Institution – (Indicate name & location): <input type="checkbox"/> Physical Deposits (specify cash, securities, cheques, ...):												
What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: ~ 1-5/month; \$100 - \$500K												
What is the expected volume of assets and currency for the account approx. 90 days after opening?	790,453.14	Currency	USD									
What is the expected volume of assets and currency for the account approx. one year after opening?	790,453.14	Currency	USD									
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No											
<b>Please list all parties related to the account.</b> For each party: <ul style="list-style-type: none"> <li>• Check if a source of wealth description is required for the party.</li> <li>• Check the appropriate box to describe the relationship of the party to this account (&gt; 1 can be selected).</li> <li>• If none of the check boxes apply, describe the party's relation to the account in the "Other" column.</li> <li>• Always describe the relationship between the parties in the last column.</li> <li>• Please drill down to the ultimate/underlying Beneficial Owner(s).</li> </ul>												
#	Legal Entity	Description of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25% Non-PIC entity (indicate ownership %))	Other (please describe other roles and/or indicate relationship between parties)
1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Plan D, LLC	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey E. Epstein	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Beneficiary; Sole Member; Primary Decision Maker;
3	<input type="checkbox"/>	<input type="checkbox"/>	Darren K. Indyke	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Auth Signor;
4	<input type="checkbox"/>	<input type="checkbox"/>	Harry Beller	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Auth Signor;
5	<input type="checkbox"/>	<input type="checkbox"/>	Lawrence Paul Visoski Jr	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Manager;

SDNY\_GM\_00064325

<https://dbforcepb.my.salesforce.com/ser/letservet/Integration?id=01N3000000D9Di&...>

11/19/2018

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0027150

EFTA\_00174828

EFTA01298932

2. Account Ownership Summary												
Account Name:			The Haze Trust - 77000949 - DDA					Acct. Number (if available):		77000949		
Account Manager:			Stewart Oldfield									
What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? This is an interest bearing checking account for costs (taxes, etc.) related to this Trust												
Indicate from where the assets are expected to arrive?												
<input checked="" type="checkbox"/> DB Group: Same Booking Center (indicate account number): Existing <input type="checkbox"/> DB Group: Other Booking Center (indicate DB location and account details): <input type="checkbox"/> Other Institution – (Indicate name & location): <input type="checkbox"/> Physical Deposits (specify cash, securities, cheques, ...):												
What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: ~ 1-3/month; \$10K - \$10MM												
What is the expected volume of assets and currency for the account approx. 90 days after opening?			7,707,707.25				Currency		USD			
What is the expected volume of assets and currency for the account approx. one year after opening?			7,707,707.25				Currency		USD			
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?							<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
<b>Please list all parties related to the account.</b> For each party: <ul style="list-style-type: none"> <li>• Check if a source of wealth description is required for the party.</li> <li>• Check the appropriate box to describe the relationship of the party to this account (&gt; 1 can be selected).</li> <li>• If none of the check boxes apply, describe the party's relation to the account in the "Other" column.</li> <li>• Always describe the relationship between the parties in the last column.</li> <li>• Please drill down to the ultimate/underlying Beneficial Owner(s).</li> </ul>												
	Legal Entity	Description of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25%) Non-PIC entity (indicate ownership %)	Other (please describe other roles and/or indicate relationship between parties)
1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The Haze Trust	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2	<input type="checkbox"/>	<input type="checkbox"/>	Darren K. Indyke	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Trustee;Trustee;Auth Signor as Trustee;
3	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey E. Epstein	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Settlor;Beneficiary; Trustee;Trustee;Auth Signor as Trustee & Primary Decision Maker;

SDNY\_GM\_00064326

https://dbforcepb.my.salesforce.com/ser...let/servet.Integration?Id=01N30000000D9Di&...  
 CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

11/19/2018

DB-SDNY-0027151

EFTA\_00174829

EFTA01298933

2. Account Ownership Summary											
Account Name:			The Haze Trust - N4G024943 - DBSI				Acct. Number (if available):		N4G024943		
Account Manager:			Stewart Oldfield								
What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? This is a brokerage account for the trust to hold and make investments in marketable securities is the purpose of the account.											
Indicate from where the assets are expected to arrive?											
<input checked="" type="checkbox"/> DB Group: Same Booking Center (indicate account number): Existing <input type="checkbox"/> DB Group: Other Booking Center (indicate DB location and account details): <input type="checkbox"/> Other Institution – (Indicate name & location): <input type="checkbox"/> Physical Deposits (specify cash, securities, cheques, ...):											
What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)?: ~ 3-10/month; \$10 - \$2MM											
What is the expected volume of assets and currency for the account approx. 90 days after opening?			20,355,143.12				Currency		USD		
What is the expected volume of assets and currency for the account approx. one year after opening?			20,355,143.12				Currency		USD		
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?						<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
<b>Please list all parties related to the account.</b> For each party: <ul style="list-style-type: none"> <li>• Check if a source of wealth description is required for the party.</li> <li>• Check the appropriate box to describe the relationship of the party to this account (&gt; 1 can be selected).</li> <li>• If none of the check boxes apply, describe the party's relation to the account in the "Other" column.</li> <li>• Always describe the relationship between the parties in the last column.</li> <li>• Please drill down to the ultimate/underlying Beneficial Owner(s).</li> </ul>											
Legal Entity	Description of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25%) Non-PIC entity (indicate ownership %)	Other (please describe other roles and/or indicate relationship between parties)
1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The Haze Trust	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey E. Epstein	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Settlor;Beneficiary; Trustee;Trustee;Auth Signor as Trustee & Primary Decision Maker;
3	<input type="checkbox"/>	<input type="checkbox"/>	Darren K. Indyke	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Trustee;Trustee;Auth Signor as Trustee;
4	<input type="checkbox"/>	<input type="checkbox"/>	Paul Barrett	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		Paul has Limited Trading Authorization for Brokerage account;
5	<input type="checkbox"/>	<input type="checkbox"/>	Harry Beller	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		POA for Brokerage Account;
6	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		POA for Brokerage Account;

SDNY\_GM\_00064327

<https://dbforcepb.my.salesforce.com/ser/letservet/Integration?Id=01N3000000D9Di&...>

11/19/2018

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0027152

EFTA\_00174830

EFTA01298934



2. Account Ownership Summary											
Account Name:	The Haze trust - 42967287 - DDA	Acct. Number (if available):	42967287								
Account Manager:	Stewart Oldfield										
What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? This is a simple checking account for costs (taxes, etc.) related to this Trust											
Indicate from where the assets are expected to arrive?											
<input checked="" type="checkbox"/> DB Group: Same Booking Center (indicate account number): Existing <input type="checkbox"/> DB Group: Other Booking Center (indicate DB location and account details): <input type="checkbox"/> Other Institution – (Indicate name & location): <input type="checkbox"/> Physical Deposits (specify cash, securities, cheques, ...):											
What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)? There are regular transactions in The Haze brokerage account, which is where most of the activity is. The deposit account just holds cash to earn the interest. Wouldn't expect many transactions there.											
What is the expected volume of assets and currency for the account approx. 90 days after opening?	2,503,667.84	Currency	USD								
What is the expected volume of assets and currency for the account approx. one year after opening?	2,503,667.84	Currency	USD								
Does/will the client have Assets Under Management (AuM) within DB under Eur. 3M?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No										
<b>Please list all parties related to the account.</b> For each party: <ul style="list-style-type: none"> <li>• Check if a source of wealth description is required for the party.</li> <li>• Check the appropriate box to describe the relationship of the party to this account (&gt; 1 can be selected).</li> <li>• If none of the check boxes apply, describe the party's relation to the account in the "Other" column.</li> <li>• Always describe the relationship between the parties in the last column.</li> <li>• Please drill down to the ultimate/underlying Beneficial Owner(s).</li> </ul>											
No.	Legal Entity of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25% Non-PIC entity (Indicate ownership %))	Other (please describe other roles and/or indicate relationship between parties)
1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Settlor;Beneficiary; Trustee;Trustee;Auth Signor as Trustee & Primary Decision Maker;
3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Trustee;Trustee;Auth Signor as Trustee;

**One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary**

3A. Individual Details (for all parties)					
Individual's Name:	Jeffrey E. Epstein - 00000483289	Date of Birth:	1/20/1953		
Country of Residence:	Virgin Islands, U.S.	Country of Citizenship:	United States		
Address of primary residence:	Little Saint James Saint Thomas 00802 Virgin Islands, U.S.	Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Profession/Occupation:	Self Employed	Tax ID / SSN:	090-44-3348		
Current Employer:	Southern Trust Company Inc	Position/Title/Rank:	President		
Address of employer:	6100 Red Hook Quarter B3 St. Thomas Virgin Islands, U.S. 00802				
Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) Connection with Prince Andrew and Bill Clinton		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe ) N/A		<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None			
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)? (if Yes, describe ) NA		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
Stewart Oldfield	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		6/28/2017
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

<input type="checkbox"/> Wealth Details for this individual are not filled in, because they are the same as for the following person:	
3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)	
Nature of the Individual's Business:	Private investments
Primary Country of source of wealth/source of Funds?	United States
Primary industry of source of Wealth/Source of Funds?	High Risk Financial Institutions
Summarize Source of Wealth:	<input checked="" type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input checked="" type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> Other:
Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth? For business owners, how long in business, how many employees, level of	

SDNY\_GM\_00064330

https://dbforcepb.my.salesforce.com/ser/let/serv/et/Integration?Id=01N30000000D9Di&...  
CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

11/19/2018

DB-SDNY-0027155

EFTA\_00174833

EFTA01298937

profitability? Indicate type of business, countries of major activities, important business partners.) Jeffrey Edward Epstein (born January 20, 1953) is an American financier and registered sex offender in the United States. He worked at Bear Stearns early in his career and then formed his own firm, J. Epstein & Co. He lives in the US Virgin Islands. Epstein taught calculus and physics at the Dalton School in Manhattan from 1973 to 1975. Among his students was a son of Alan C. Greenberg, chairman of Bear Stearns. In 1976, Epstein started work as an options trader at Bear Stearns where he worked in the special products division, advising high-net-worth clients on tax strategies. Proving successful in his financial career, in 1980 Epstein became a partner at Bear Stearns. In 1982, Epstein founded his own financial management firm, J. Epstein & Co., managing the assets of clients with more than \$1 billion in net worth. In 1987, Leslie Wexner, founder and chairman of Ohio-based The Limited chain of women's clothing stores, became a well-known client. Wexner acquired Abercrombie & Fitch the following year. In 1992 he converted a private school on the Upper East Side into an enormous residence. Epstein later bought that property, in the wealthiest part of Manhattan. In 1996, Epstein changed the name of his firm to the Financial Trust Company and, for tax advantages, based it on the island of St. Thomas in the U.S. Virgin Islands. In 2003, Epstein bid to acquire New York magazine. Other bidders were advertising executive Donny Deutsch, investor Nelson Peltz, media mogul and publisher Mortimer Zuckerman, who had the New York Daily News, and film producer Harvey Weinstein. They were ultimately outbid by Bruce Wasserstein, a longtime Wall Street investor, who paid \$55 million. In 2004, Epstein and Zuckerman committed up to \$25 million to finance Radar a celebrity and pop culture magazine founded by Maer Roshan. Epstein and Zuckerman were equal partners in the venture. Roshan, as its editor-in-chief, retained a small ownership stake. Presently, Mr. Epstein founded Southern Trust Company Inc, a private consulting company that invests the assets of their clients and gets their revenue from the return of these investments. Southern Trust invests in different portfolios catered to their clients and makes their revenue based on the returns and the fees associated with managing their client's assets

Estimated Annual Income (\$):	10,000,000.00	Estimated amount of investable assets(\$):	\$50 MM - 100 MM
Estimated Net Worth(\$):	\$500 MM +	Amount of assets planned to invest with PWM(\$):	2,300,000.00

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.): N/A

**One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary**

3A. Individual Details (for all parties)					
Individual's Name:	Darren K. Indyke - 00000486405		Date of Birth:	[REDACTED]	
Country of Residence:	United States		Country of Citizenship:	United States	
Address of primary residence:	[REDACTED]		Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Profession/Occupation:	Accountant		Tax ID / SSN:	[REDACTED]	
Current Employer:	Southern Financial LLC		Position/Title/Rank:	Accountant	
Address of employer:	6100 Red Hook Quarter B3 Livingston Virgin Islands, U.S. 00802				
Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A			<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None		
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)? (if Yes, describe) N/A			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
Stewart Oldfield	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		12/12/2016
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

<input type="checkbox"/> Wealth Details for this individual are not filled in, because they are the same as for the following person:	
3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)	
Nature of the Individual's Business:	
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)

Estimated Annual Income (\$):		Estimated amount of investable assets(\$):	
Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

**One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary**

3A. Individual Details (for all parties)					
Individual's Name:	Harry Beller - 00000487202		Date of Birth:	[REDACTED]	
Country of Residence:	United States		Country of Citizenship:	United States	
Address of primary residence:	[REDACTED]		Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Profession/Occupation:	Accountant		Tax ID / SSN:	[REDACTED]	
Current Employer:	HBRK Associates, Inc		Position/Title/Rank:	Accountant	
Address of employer:	575 Lexington Avenue, 4th Floor Monsey NY United States 10022				
Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A			<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None		
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)? (if Yes, describe) NA			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

<input type="checkbox"/> Wealth Details for this individual are not filled in, because they are the same as for the following person:	
3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)	
Nature of the Individual's Business:	
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)

Estimated Annual Income (\$):		Estimated amount of investable assets(\$):	
Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

**One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary**

3A. Individual Details (for all parties)					
Individual's Name:	Paul Barrett - 00300317584	Date of Birth:	[REDACTED]		
Country of Residence:	United States	Country of Citizenship:	United States		
Address of primary residence:	[REDACTED]	Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Profession/Occupation:	Investment Advisor	Tax ID / SSN:	[REDACTED]		
Current Employer:	J.P. Morgan Securities LLC	Position/Title/Rank:	Investment Advisor		
Address of employer:	277 Park Ave New York NY United States 10172				
Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A		<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None			
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)? (if Yes, describe) N/A		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

<input type="checkbox"/> Wealth Details for this individual are not filled in, because they are the same as for the following person:	
3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)	
Nature of the Individual's Business:	
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> Other:

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)

Estimated Annual Income (\$):		Estimated amount of investable assets(\$):	
Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

**One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary**

3A. Individual Details (for all parties)					
Individual's Name:	Jean Anne Brennan Wiebracht - 00000487647	Date of Birth:	[REDACTED]		
Country of Residence:	Virgin Islands, U.S.	Country of Citizenship:	Virgin Islands, U.S.		
Address of primary residence:	[REDACTED]	Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Profession/Occupation:	Finance	Tax ID / SSN:	[REDACTED]		
Current Employer:	Southern Financial LLC	Position/Title/Rank:	Finance		
Address of employer:	6100 Red Hook Quarter, B3 St, Thomas Virgin Islands, U.S. 00802				
Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A		<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None			
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)? (if Yes, describe) N/A		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

<input type="checkbox"/> Wealth Details for this individual are not filled in, because they are the same as for the following person:	
3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)	
Nature of the Individual's Business:	
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> Other:

SDNY\_GM\_00064338

<https://dbforcepb.my.salesforce.com/ser/let/serv/et.Integration?Id=01N30000000D9Di&...>

11/19/2018

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0027163

EFTA\_00174841

EFTA01298945

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)

Estimated Annual Income (\$):		Estimated amount of investable assets(\$):	
Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

**One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary**

3A. Individual Details (for all parties)					
Individual's Name:	Lawrence Paul Visoski Jr -	Date of Birth:	[REDACTED]		
Country of Residence:	United States	Country of Citizenship:	United States		
Address of primary residence:	[REDACTED]	Has client resided outside of his/her country of nationality for 5 years or more?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Profession/Occupation:	Manager	Tax ID / SSN:	[REDACTED]		
Current Employer:	Plan D LLC	Position/Title/Rank:	Manager		
Address of employer:	6100 Red Hook, Quarter B3 St, Thomas Virgin Islands, U.S. 00802				
Does the person work as senior executive of a DB-recognized regulated entity in the financial industry? or an entity listed on a DB-recognised exchange? (Not applicable for operating entities)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe) N/A		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe) N/A		<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None			
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)? (if Yes, describe) N/A		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

<input type="checkbox"/> Wealth Details for this individual are not filled in, because they are the same as for the following person:	
3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)	
Nature of the Individual's Business:	
Primary Country of source of wealth/source of Funds?	
Primary industry of source of Wealth/Source of Funds?	
Summarize Source of Wealth:	<input type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> Other:

SDNY\_GM\_00064340

Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.)

Estimated Annual Income (\$):		Estimated amount of investable assets(\$):	
Estimated Net Worth(\$):		Amount of assets planned to invest with PWM(\$):	

Other Known Financial Institutions:

Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	

Please indicate the family situation of the individual (marital status, other family members, etc.):

**One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary**

**3C. Legal Entity Details** (For all Legal Entities)

Legal Entity Name:	The Haze Trust - 00000486428		
Type of Entity:	<input type="checkbox"/> Foundation/Association <input checked="" type="checkbox"/> Trust <input type="checkbox"/> Company <input type="checkbox"/> Estate <input type="checkbox"/> Partnership	Purpose of Entity:	<input checked="" type="checkbox"/> Private Investment <input type="checkbox"/> Philanthropic/Charitable <input type="checkbox"/> Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	United States	Date of incorporation / registration:	2/9/1999
Volcker Status:	Identified on Customer Profile	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook Quarter B3 St, Thomas 00802 Virgin Islands, U.S.	U.S. TIN/EIN:	13-7185414
Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.: This is a Revocable Trust. Jeffrey Epstein: Grantor/Trustee/Beneficiary Darren Indyke: Trustee			
Please indicate how ownership of the legal entity is reflected: Trust Agreement			
<input type="checkbox"/> Special attention: Bearer Shares - Indicate where shares are custodied:			
Describe the chain from the direct owner of the entity to the ultimate beneficial owner (if not the same persons): Jeffrey Epstein: Grantor/Trustee/Beneficiary Darren Indyke: Trustee			
To the best of your knowledge, is the entity party to a non-banking relationship with Deutsche Bank (e.g. external legal counsel, client referral source, supplier of goods or services)?:		Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
N/A			
<b>Describe Nature of Entity's Primary Business and Investment Activities</b>			
Nature of the business:	The trust was initially funded with \$100. The trust makes and holds investments and the gains it makes from those investments is its source of revenue. The trust, in turn, puts these gains back into the trust and reinvests.		
Countries where business is transacted:	United States		

SDNY\_GM\_00064341

<https://dbforcepb.my.salesforce.com/ser/let/ser/vet/Integration?Id=01N30000000D9Di&...>

11/19/2018

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0027166

EFTA\_00174844

EFTA01298948

Number of employees:	2
----------------------	---

3D. Wealth Profile (Only for parties requiring source of wealth description as indicated in Section 2)		
Primary Country of source of wealth/source of Funds?	United States	
Primary industry of source of Wealth/Source of Funds?	High Risk Financial Institutions	
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities): The trust was initially funded with \$100 from Jeffrey Epstein. The trust makes and holds investments and the gains it makes from those investments is its source of revenue. The trust, in turn, puts these gains back into the trust and reinvests.		
Estimated gross receipts p.a.(\$):	300,000.00	
Estimated net profit p.a. (\$):	200,000.00	
Estimated investable assets (\$):	\$20 MM - 50 MM	
Potential Amount to be invested with PWM (\$):	200,000.00	
Other Known Financial Institutions:		
Institution:	Country:	Est. Assets Under Mgt:
Institution:	Country:	Est. Assets Under Mgt:
Institution:	Country:	Est. Assets Under Mgt:

**One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary**

3C. Legal Entity Details (For all Legal Entities)			
Legal Entity Name:	Plan D, LLC - 00000487219		
Type of Entity:	<input type="checkbox"/> Foundation/Association <input type="checkbox"/> Trust <input checked="" type="checkbox"/> Company <input type="checkbox"/> Estate <input type="checkbox"/> Partnership	Purpose of Entity:	<input checked="" type="checkbox"/> Private Investment <input type="checkbox"/> Philanthropic/Charitable <input type="checkbox"/> Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	Virgin Islands, U.S.	Date of incorporation / registration:	10/19/2012
Volcker Status:	Identified on Customer Profile	Volcker Flag:	No
Address (city, street, post code):	6100 Red Hook, Quarter B3 St, Thomas 00802 Virgin Islands, U.S.	U.S. TIN/EIN:	66-0795246
Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.:			
Single member LLC. Sole member is Jeffrey Epstein. The signors on this account are Jeffrey Epstein, Harry Beller and Darren Indyke			
Please indicate how ownership of the legal entity is reflected: Operating Agreement			
<input type="checkbox"/> Special attention: Bearer Shares - Indicate where shares are custodied:			
Describe the chain from the direct owner of the entity to the ultimate beneficial owner (if not the same persons): Single member LLC. Sole member is Jeffrey Epstein. The signors on this account are Jeffrey Epstein, Harry Beller and Darren Indyke			

SDNY\_GM\_00064342

https://dbforcepb.my.salesforce.com/ser... Integration?id=01N30000000D9Di&... 11/19/2018

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

**CONFIDENTIAL**

DB-SDNY-0027167

EFTA\_00174845

EFTA01298949

Lawrence Paul Visoski Jr is the manager.	
To the best of your knowledge, is the entity party to a non-banking relationship with Deutsche Bank (e.g. external legal counsel, client referral source, supplier of goods or services)? N/A	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>Describe Nature of Entity's Primary Business and Investment Activities</b>	
Nature of the business:	LLC created to hold funds to pay for costs associated with one of Jeffrey Epstein's planes. Personal airplanes are generally leased out to others when the owner is not using the plane.
Countries where business is transacted:	United States
Number of employees:	1

<b>3D. Wealth Profile</b> (Only for parties requiring source of wealth description as indicated in Section 2)		
Primary Country of source of wealth/source of Funds?	United States	
Primary industry of source of Wealth/Source of Funds?	High Risk Financial Institutions	
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities): LLC created to hold funds to pay for costs associated with one of Jeffrey Epstein's planes. Initial contribution of \$1,000 from Jeffrey Epstein and all source of funds come from Jeffrey Epstein. An airplane is equipment. Personal airplanes are generally leased out to others when the owner is not using the plane.		
Estimated gross receipts p.a.(\$):	1,000,000.00	
Estimated net profit p.a. (\$):	500,000.00	
Estimated investable assets (\$):	<\$1 MM	
Potential Amount to be invested with PWM (\$):	200,000.00	
Other Known Financial Institutions:		
Institution:	Country:	Est. Assets Under Mgt:
Institution:	Country:	Est. Assets Under Mgt:
Institution:	Country:	Est. Assets Under Mgt:

**One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary**

<b>3C. Legal Entity Details</b> (For all Legal Entities)			
Legal Entity Name:	NES, LLC - 00000487265		
Type of Entity:	<input type="checkbox"/> Foundation/Association <input type="checkbox"/> Trust <input checked="" type="checkbox"/> Company <input type="checkbox"/> Estate <input type="checkbox"/> Partnership	Purpose of Entity:	<input checked="" type="checkbox"/> Private Investment <input type="checkbox"/> Philanthropic/Charitable <input type="checkbox"/> Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	United States	Date of incorporation / registration:	8/13/1998
Volcker Status:	Identified on Customer Profile	Volcker Flag:	No

SDNY\_GM\_00064343

Address (city, street, post code):	6100 Red Hook Quarter, B3 St, Thomas 00802 Virgin Islands, U.S.	U.S. TIN/EIN:	13-4146141
Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.: Single member LLC. Jeffrey Epstein is the sole member. The signors on this account are Jeffrey Epstein, Darren Indyke and Harry Beller			
Please indicate how ownership of the legal entity is reflected: Operating Agreement			
<input type="checkbox"/> Special attention: Bearer Shares - Indicate where shares are custodied:			
Describe the chain from the direct owner of the entity to the ultimate beneficial owner (if not the same persons): Single member LLC. Jeffrey Epstein is the sole member. The signors on this account are Jeffrey Epstein, Darren Indyke and Harry Beller			
To the best of your knowledge, is the entity party to a non-banking relationship with Deutsche Bank (e.g. external legal counsel, client referral source, supplier of goods or services)? N/A		Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
<b>Describe Nature of Entity's Primary Business and Investment Activities</b>			
Nature of the business:	NES, LLC was formed to take care of the expenses associated with running one of Jeffrey Epstein's homes		
Countries where business is transacted:	United States		
Number of employees:	1		

<b>3D. Wealth Profile</b> (Only for parties requiring source of wealth description as indicated in Section 2)			
Primary Country of source of wealth/source of Funds?		United States	
Primary industry of source of Wealth/Source of Funds?		High Risk Financial Institutions	
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities): All funds come from Jeffrey Epstein, who has been KYC'd previously			
Estimated gross receipts p.a.(\$):		1,000,000.00	
Estimated net profit p.a. (\$):		500,000.00	
Estimated investable assets (\$):		<\$1 MM	
Potential Amount to be invested with PWM (\$):		150,000.00	
Other Known Financial Institutions:			
Institution:	Country:	Est. Assets Under Mgt:	
Institution:	Country:	Est. Assets Under Mgt:	
Institution:	Country:	Est. Assets Under Mgt:	

DB PWM GLOBAL KYC/NCA: US/LatAm/Int'l **PART B**



Relationship Name	SOUTHERN FINANCIAL RELATIONSHIP				
Risk Rating Comments:	The Haze-Overall-HIGH,Entity-HIGH,Industry-HIGH,Country-MEDIUM,Product-HIGH.The 2007 Jeffrey-Overall-HIGH,Entity-HIGH,Industry-HIGH,Country-MEDIUM,Product-HIGH.Plan D & NES LLC- Overall-HIGH,Entity-MEDIUM,Industry-HIGH,Country-MEDIUM,Product-HIGH.				
Booking Center	<input checked="" type="checkbox"/> NY	<input type="checkbox"/> NY/Offshore	<input type="checkbox"/> Offshore	<input type="checkbox"/> Moderate Risk	<input checked="" type="checkbox"/> High Risk
(Compliance Signature)					
<input type="checkbox"/> DB Employee	<input type="checkbox"/> DB Managed PIC	<input type="checkbox"/> DB is Trustee/Co-Trustee	<input type="checkbox"/> Bearer Shares		

4. Attachments			
A. Type of Photo ID Provided	<input checked="" type="checkbox"/> Drivers License	<input checked="" type="checkbox"/> Passport	<input type="checkbox"/> National/State ID <input type="checkbox"/> Other
B. Checklist of names (individuals and/or entities) that were submitted for database searches is attached	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
C. Please indicate the results of the database searches performed			
RDC searches complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
PCR checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
OFAC checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
BIS searches complete (Lexis/Nexis, Factiva, Reuters, Dow Jones, D&B)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Denial Orders checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Martindale-Hubbell searched (Lawyers/Law Firms only)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input type="checkbox"/> No
D. Please summarize any negative results from the database searches indicated above: Plan D:			
- No negative media - No court cases  The Haze Trust: - No negative media - No court cases  The 2007 Jeffrey E. Epstein Insurance Trust #3: - No negative media - No court cases  NES LLC: - No negative media, - Court case was filed way back in 4/5/2005 which pertains to NES LLC that is involved in doing business as National Educational Service and the status of the case stands closed. This doesnt pertain to our entity as our entity is not into educational service.  Harry Beller: - No negative media - Harry Beller is the plaintiff in the court case, also it has been disposed.  Jeffrey Edward Epstein: - Adverse results in Google relates to Jeffrey's Sex offence in the past which are cleared already. Attached clearances in the case - Negative media relates to the sex offence in the past which are already cleared. (KYC # - 01790655) - Court cases relates to Jeffrey's sex offence in the past which is already cleared, another (Gerber Et Al V. The Financial Trust Company Et Al) is a recent ongoing civil lawsuit pertaining to fraud which has been dismissed (attached document), but part of normal business operations for this client. And in one of the case he's neither defendant nor plaintiff. He's just named as a respondent and the case is immaterial in nature - Criminal Filings relates to sex offence which is already cleared in the past			

SDNY\_GM\_00064345

https://dbforcepb.my.salesforce.com/ser... 11/19/2018  
 CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0027170

EFTA\_00174848

EFTA01298952

- RDC alert found - Sex offences in the past which has been cleared - Clearance attached

Darren Indyke:

- Negative news in Google relates to Jeffrey Epstein's Foundation and are not material in nature.
- Court case mentioned in Google search relates to Jeffrey Epstein's sex offence in the past which has been cleared already. Darren is just an attorney for Jeffrey in the case.
- Fircosoft alert has been cleared by AML Compliance. Clearance attached.

Richard Kahn:

- No negative media
- Court case was dismissed and he was not barred from NYSE Arca and was cleared in the previous KYCs. Attached clearances
- RDC alert found - realates to violation of NYSE Arca Equities Rule - Clearance attached.

- No negative media
- No court cases

Paul S Barrett :

- No negative media
- No court cases
- RDC alert found - False positives, does not pertain to our client. Clearance attached.

Jean Anne Brennan Wiebracht:

- No negative media
- No court cases

Lawrence Paul Visoski Jr:

- No negative media
- No court cases

Southern Trust Company Inc:

- No negative media
- No court cases

The Financial Trust Company:

- Negative news in research is false positive and immaterial in nature. The hit is on IRA Financial Trust Company and not our SOW entity The Financial Trust Company.
- Court case pertains to First Financial Trust Company and not our SOW entity The Financial Trust Company

E. To the best of your knowledge, has the client ever been convicted of a criminal offense?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
F. To the best of your knowledge, has the customer ever been involved in any past litigation against Deutsche Bank AG or any of its subsidiaries or is the customer threatening litigation against Deutsche Bank AG or any of its subsidiaries? <i>(If Yes, provide details below and contact Quality Mgt. (LatAm/Int?) or the Regulatory Control Group and notify Compliance immediately)</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
G. Does the client or related party have any financial or other association / interactions within countries or regimes sanctioned by the Office of Foreign Assets Control (OFAC)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
H. Does the client or related party have any financial or other association/ interactions within high risk countries?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
I. Corporate Documentation Attached (Legal Entities Only)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable
J. Undisclosed Principal Form Complete (Intermediaries Only)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable
K. If Lexis/Nexis Search Results, Corporate Documents or Other Supporting Documentation is not in English, please provide an English summary of the nature/contents of the non-English Documentation:	
L. Special Risk Factors	
Does the account have Nexus to Special Risk Countries?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is the account structure unusually complex?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

SDNY\_GM\_00064346

Is there any indication the client set up a non operating company expressly for the purpose of transferring shares to third parties?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is there any indication this could be a prohibited business relationship?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Are the bearer shares identified subject to acceptable controls?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

M. Case Comments		
Created By	Date	Comments
Alka Babu	11/5/118 4:18 AM	Darren Indyke on 10/22/18 confirmed that there are no material charges.
Yoonsun Chung	11/16/118 1:32 PM	RM Confirmed that the clients will be closing the accounts before the end of the year. Case will be closed. 11/16/18
Dimitra Manley	11/19/118 11:42 AM	<p>This KYC serves as Periodic Review for the following existing clients:                      (1) Nes LLC                      (2) Plan D LLC                      (3) The Haze Trust</p> <p>Risk factors include:                      • Source of Wealth (SOW) Industry: Financial Management (managing client assets)                      • PEP/RCA: Jeffrey Epstein, UBO &amp; SOW, is considered an RCA based on his close relationship with Bill Clinton (Former US President) and Prince Andrew (British Royal Family)                      • Media: Negative media related to Jeffrey Epstein has been previously reviewed and escalated for reputational risk concerns. Evidence of prior approval to proceed with the relationship is attached to this case, including a stipulation to review further if new media is identified.                      Accordingly, approval from the Divisional Control Officer is attached to this KYC in regards to a recently filed (and dismissed) court case. (Please see clearances for more details)</p> <p>We are comfortable signing-off on this KYC for the following reasons:                      • Information and supporting documents required by our AML Policy were provided and reviewed. As a result, we have a reasonable understanding of the purpose of the account and expected transaction activity.                      • The source of wealth was sufficiently detailed and appears plausible.                      • We performed due diligence searches on all parties and did not find the names searched to be on any sanctions lists.</p>
Yoonsun Chung	11/16/118 4:45 PM	The only account closing is the insurance trust,
Alka Babu	8/24/118 5:48 AM	No material changes confirmation "email" attached in the case

ONSHORE APPROVALS			
Client Facing Professional (CFP):	Bradley Gillin	(Signature) Bradley Gillin	10/5/2018
Office Director/Business Head:	Andrew F Gallivan	(Signature) Andrew F Gallivan	10/9/2018
Regional Office Director:		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:	Dimitra Manley	(Signature) Dimitra Manley	11/19/2018

LATAM/INTERNATIONAL APPROVALS			
Client Facing Professional (CFP):		(Signature)	
Account Manager:		(Signature)	

SDNY\_GM\_00064348

<https://dbforcepb.my.salesforce.com/ser/let/serv/et/Integration/?id=01N30000000D9Di&...>

11/19/2018

CONFIDENTIAL – PURSUANT TO FED. R. CRIM. P. 6(e)

DB-SDNY-0027173

EFTA\_00174851

EFTA01298955

Global Market Team Head (GMTH)/Sub-Market Team Head (SMTH):		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:		(Signature)	

**PRIVATE WEALTH MANAGEMENT POLICY STATEMENT:** Deutsche Bank Private Wealth Management (PWM) worldwide is committed to professionally serve the interests of its clients. To do so, Client Facing Professionals<sup>1(1)</sup> (CFP's) should establish and maintain business relationships only with persons who satisfy our high standards of suitability, background and character. Due diligence obtained on the client must be appropriately documented by the CFP. It is the responsibility of CFP's to demonstrate that they know their client both at the inception of a relationship and on an ongoing basis.

**DECLARATION FOR ALL SIGNERS OF THIS FORM:** To the best of my knowledge and belief the above information is correct and up to date. I confirm that I have no suspicions relating to the money laundering or unethical activities on the part of the client(s) and that I have followed all the procedures relating to account opening as described in the PWM Americas Procedures and the PWM Global KYC Policy

(1) Client Facing Professionals (CFP's) include: Relationship Managers, Wealth Advisors, Product Officers, Brokers, Client Managers, etc.

